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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO	
09/734,496	12/11/2000	Brian Feinberg	19880004100	3605	
26291	7590 09/12/2005		EXAMINER		
MOSER, PATTERSON & SHERIDAN L.L.P. 595 SHREWSBURY AVE, STE 100 FIRST FLOOR SHREWSBURY, NJ 07702			HOYE, MICHAEL W		
			ART UNIT	PAPER NUMBER	
			2614		
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Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)				
	09/734,496	FEINBERG ET AL.				
Office Action Summary	Examiner	Art Unit				
	Michael W. Hoye	2614				
The MAILING DATE of this communication appears on the cover sheet with the correspondence address Period for Reply						
A SHORTENED STATUTORY PERIOD FOR REPLY WHICHEVER IS LONGER, FROM THE MAILING DY. Extensions of time may be available under the provisions of 37 CFR 1.13 after SIX (6) MONTHS from the mailing date of this communication. If NO period for reply is specified above, the maximum statutory period v. Failure to reply within the set or extended period for reply will, by statute Any reply received by the Office later than three months after the mailing earned patent term adjustment. See 37 CFR 1.704(b).	ATE OF THIS COMMUNICATION 36(a). In no event, however, may a reply be timular apply and will expire SIX (6) MONTHS from a cause the application to become ABANDONE!	the mailing date of this communication. D (35 U.S.C. § 133).				
Status						
1)⊠ Responsive to communication(s) filed on 16 Ju	ine 2005.					
· · · · · · · · · · · · · · · · · · ·						
3) Since this application is in condition for allowar	Since this application is in condition for allowance except for formal matters, prosecution as to the merits is					
closed in accordance with the practice under Ex parte Quayle, 1935 C.D. 11, 453 O.G. 213.						
Disposition of Claims						
4) Claim(s) 1-21 is/are pending in the application.						
4a) Of the above claim(s) is/are withdrawn from consideration.						
5) Claim(s) is/are allowed.						
6)⊠ Claim(s) <u>1-21</u> is/are rejected.						
8) Claim(s) are subject to restriction and/o	r-election requirement.					
Application Papers						
9) The specification is objected to by the Examiner.						
10)⊠ The drawing(s) filed on <u>6/16/05</u> is/are: a)□ accepted or b)⊠ objected to by the Examiner.						
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).						
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).						
11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.						
Priority under 35 U.S.C. § 119						
12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). a) All b) Some * c) None of:						
 Certified copies of the priority documents have been received. 						
2. Certified copies of the priority documents have been received in Application No						
3. Copies of the certified copies of the priority documents have been received in this National Stage						
application from the International Bureau (PCT Rule 17.2(a)).						
* See the attached detailed Office action for a list of the certified copies not received.						
Attachment(s)						
 Notice of References Cited (PTO-892) Notice of Draftsperson's Patent Drawing Review (PTO-948) 	(PTO-413) ate					
3) Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)						

DETAILED ACTION

Response to Arguments

1. Applicants' arguments filed on June 16, 2005 have been fully considered but they are not persuasive.

Regarding amended independent claims 1, 19 and 20, the Applicants argue that, "The Pandya reference fails to disclose each and every element of the claimed invention, as arranged in the claim. More specifically, on page 12 of the remarks, the Applicants argue that, "Pandya fails to disclose a head-end, a monitor and control unit and a remote device."

In response, the Examiner respectfully disagrees with the Applicants because the claimed head-end is met by the Pandya reference, as previously described in the last Office Action, where on pg. 346 of "Newton's Telecom Dictionary", a commonly accepted definition of "head end" is "A central control device required within come LAN/MAN systems to provide such centralized functions as remodulation, re-timing, message accountability, contention control, diagnostic control, and access." And, although the Pandya et al reference does not explicitly use the term "head-end", the reference clearly teaches monitoring and managing centralized local network resources, including servers, routers, storage devices, gateways, switches, hubs, etc., which are clearly synonymous with the operations of a head-end system (see col. 4, lines 40-61 of Pandya et al). The claimed "monitor and control unit" is met by the agents and control points, which control and monitor network events, track operational and congestion status of network resources, select optimum targets for network requests, dynamically manage bandwidth usage, and share information about network conditions with customers, users and IT personnel (col. 4,

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lines 40-46). The agents and control points may be adapted and configured to enforce system policies; to monitor and analyze network events, and take appropriate action based on these events; to provide valuable information to users of the network; and ultimately to ensure that network resources are efficiently used in a manner consistent with underlying business or other goals (col. 6, lines 53-59). The control points monitor the status of network resources... (col. 7, lines 7-15). The control points and agents may be loaded on a wide variety of devices, including computers, palm computers, pagers, cellular telephones, and other networked devices, furthermore, the link to the control points and agents may be a wireless link (col. 7, lines 27-59). Therefore, the control points and agents may be located at a remote location. The claimed "remote device" is met by a computer or paging device, such as a pager, whereby agents/control points may also send messages concerning resource status or network conditions via email or paging to IT personnel (see col. 19, lines 29-31; also see col. 10, line 66 – col. 11, line 7; col. 13, lines 9-15 and 20-23; col. 18, line 45 – col. 19, line 10; and col. 19, lines 7-31 for a more detailed description).

The Applicants argue that, "Pandya also does not forward any information to any remote devices."

In response, the Examiner respectfully disagrees with the Applicants because Pandya discloses forwarding messages concerning resource status from remote control points and agents to IT personnel via email or paging as previously described above.

The Applicants also argue that, "Pandya does not disclose any resource information being transmitted to a remote device as claimed."

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In response, the Examiner respectfully disagrees with the Applicants because Pandya discloses forwarding messages concerning <u>resource status</u> from remote control points and agents to IT personnel via email or paging as previously described above.

The Applicants also argue that, "Pandya is silent on the remote device participating in adjusting at least one parameter of a particular operation performed at the head-end."

In response, the Examiner respectfully disagrees with the Applicants because "the remote device participating in adjusting at least one parameter of a particular operation performed at the head-end" is specifically met by a user selecting characters or command selections, where a configuration utility may be used for managing configuration information for the control points and agents (col. 5, lines 45-56; col. 6, lines 60-66; col. 7, lines 27-58; col. 13, lines 20-36; col. 14, lines 2-4 and col. 20, line 39 – col. 21 line 38).

Regarding dependent claims 2-5, 7-9, 14-18 and 21, the Applicants argue on page 12 that, "for at least the same reasons discussed above with respect to independent claims 1, 19 and 20, ... these dependent claims are also not anticipated by Pandya."

In response, the Examiner respectfully disagrees with the Applicants for the reasons described above as related to the independent claims.

Regarding dependent claims 6 and 10-13, the Applicants argue on pages 12-14 that, "the Pandya reference fails to teach or suggest the remote device and the claimed function of providing, from a monitor and control unit to one or more remote devices, status relating to one or more operations performed at the head-end, the Pandya reference fails to teach or suggest the Applicants' invention as a whole."

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In response, the Examiner respectfully disagrees with the Applicants for the same reasons described above as related to relevant remarks associated with the independent claims. In addition, the Applicants arguments on page 14 are moot in view of the new additional grounds of rejection provided by the Examiner regarding the previously cited Pandya reference.

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Drawings

The drawings are objected to because in Fig. 2A, the second indicator in the pair of 2. channel indicators should be --216b-- not "214b" (see spec. pg. 10, lines 20-21). Corrected drawing sheets in compliance with 37 CFR 1.121(d) are required in reply to the Office action to avoid abandonment of the application. Any amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. The figure or figure number of an amended drawing should not be labeled as "amended." If a drawing figure is to be canceled, the appropriate figure must be removed from the replacement sheet, and where necessary, the remaining figures must be renumbered and appropriate changes made to the brief description of the several views of the drawings for consistency. Additional replacement sheets may be necessary to show the renumbering of the remaining figures. Each drawing sheet submitted after the filing date of an application must be labeled in the top margin as either "Replacement Sheet" or "New Sheet" pursuant to 37 CFR 1.121(d). If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

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Claim Objections

3. Claims 10-13 are objected to because of the following informalities: the word "include" in line 2 of each of the claims should be --includes--. Appropriate correction is required.

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

- (e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.
- 5. Claims 1-21 are rejected under 35 U.S.C. 102(e) as being anticipated by Pandya et al (USPN 6,671,724), cited by the Examiner.

As to claim 1, note the Pandya et al reference which discloses a method for monitoring, from a remote location, operation of a head-end or server/network resources in an information distribution system. Regarding the claimed "head-end", on pg. 346 of "Newton's Telecom Dictionary", a commonly accepted definition of "head end" is "A central control device required within come LAN/MAN systems to provide such centralized functions as remodulation, retiming, message accountability, contention control, diagnostic control, and access." Although the Pandya et al reference does not explicitly use the term "headend", the reference clearly teaches monitoring and managing network resources, including servers, routers, storage devices, gateways, switches, hubs, etc., which are clearly synonymous with the operations of a head-end system (see col. 4, lines 40-61, and the definition of a "headend" according to "The Authoritative

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Dictionary of IEEE Standards Terms", pg. 508 and "Newton's Telecom Dictionary", pg. 346). The claimed at the remote location, receiving status from the head-end relating to one or more operations performed at the head-end (or server) is met by the agents and control points, which control and monitor network events, track operational and congestion status of network resources, select optimum targets for network requests, dynamically manage bandwidth usage, and share information about network conditions with customers, users and IT personnel (col. 4, lines 40-46). The agents and control points may be adapted and configured to enforce system policies; to monitor and analyze network events, and take appropriate action based on these events; to provide valuable information to users of the network; and ultimately to ensure that network resources are efficiently used in a manner consistent with underlying business or other goals (col. 6, lines 53-59). The control points monitor the status of network resources... (col. 7, lines 7-15). The control points and agents may be loaded on a wide variety of devices, including computers, palm computers, pagers, cellular telephones, and other networked devices, furthermore, the link to the control points and agents may be a wireless link (col. 7, lines 27-59). Therefore, the control points and agents may be located at a remote location. The claimed forwarding at least a subset of the received status from the remote location to one or more remote devices is met by the control points monitoring the status of network resources, and sharing the information with management and support systems and with the agents (col. 7, lines 8-11), where the control points and agents may be loaded on a wide variety of devices, including computers, servers, routers, palm computers, pagers, cellular telephones, and virtually any other networked device having a processor and memory (see col. 7, lines 8-58, more specifically lines 27-39), and the "one or more remote devices" are met by a computer or paging device, such as a

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pager, whereby agents/control points may also send messages concerning resource status or network conditions via email or paging to IT personnel (see col. 19, lines 29-31; also see col. 10, line 66 – col. 11, line 7; col. 13, lines 9-15 and 20-23; col. 18, line 45 – col. 19, line 10; and col. 19, lines 7-31 for a more detailed description).

As to claim 2, the claimed receiving indications of possible error conditions relating to the one or more operations is met by monitoring the status of network resources and detecting downed or under-performing network resources, such as a downed server (col. 12, lines 43-52; col. 13, lines 9-15; and col. 18, line 45 - col. 19, line 31). The claimed forwarding one or more alert messages to the one or more remote device in response to receiving the indications is met by sending specific messages to users and IT personnel regarding errors and network conditions as described in the sections cited above, as well as in claim 1.

As to claim 3, the claimed polling the head-end for status relating to the one or more operations is met by the monitoring criteria as described above and by the triggering criteria specified in the system policies (col. 18, lines 45-67).

As to claim 4, the claimed receiving identifiers of the one or more remote devices designated to receive status is met by various profiles and parameters (col. 11, lines 43-45 and col. 15, lines 6-22).

As to claim 5, the claimed receiving an indication of capabilities of each remote device designated to receive status is met by the profiles and parameters as described above in claim 4. The claimed wherein status are forwarded to each of the one or more remote devices in conformance with the indicated capabilities is inherent to the systems and methods disclosed by the Pandya et al reference, since the status forwarded to one or more remote devices, such as a

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pager, cellular telephone, palm computer, or other networked device, would have to be in conformance with the indicated capabilities in order for the system to function properly.

As to claim 6, the claimed indicated capabilities for each remote device is indicated as text, graphics, or a combination thereof, is met by the profiles and parameters as described above in claims 4-5 (also see col. 13, lines 9-23 and col. 19, lines 25-31), in addition to, it is inherent or well known in the art of interactive remote devices associated with a network to include indicated capabilities for each remote device, such as text, graphics or a combination thereof, since different types of remote devices may only have text or graphics capabilities, such as a pager that has only text capabilities, while a computer with display or monitor has the capability to display both text and graphics, and the device transmitting the status information to a remote device must communicate information to the remote device according to the device's indicated capability or profile/properties, otherwise the communicated information will not be received and/or displayed properly on the remote device.

As to claim 7, the claimed receiving an indication of a particular reporting level for each remote device designated to receive status, and wherein status are forwarded to each of the one or more remote devices in conformance with the indicated reporting level is met by priorities that may be assigned to users or groups of users, as well as configuration of various settings relating to users, applications and resources associated with a particular control point.

As to claim 8, the claimed receiving a response message from a particular remote device, and forwarding the response message to the head-end is met by a user selecting characters or command selections, where a configuration utility may be used for managing configuration

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information for the control points and agents (col. 5, lines 45-56; col. 6, lines 60-66; col. 7, lines 27-58; col. 13, lines 20-36; col. 14, lines 2-4 and col. 20, line 39 – col. 21 line 38).

As to claim 9, the claimed received message from the particular remote device includes a command to adjust at least one parameter of a particular operation performed at the head-end is met by the configuration utility may be used for managing configuration information for the control points and agents as described in claim 8.

As to claim 10, the claimed received status includes status relating to encoding operations performed at the head-end is met by information related to the traffic control module in identifying underperforming network resources (see col. 11, line 16 – col. 13, line 29).

As to claim 11, the claimed status relating to the encoding operations includes status for one or more buffers used to store encoded data at the head-end is met by information reported regarding the transmit and receive queues (col. 11, line 24 – col. 12, line 29).

As to claim 12, the claimed received status includes status relating to multiplexing operations performed at the head-end is met by the information about bandwidth allocation for devices and applications as provided by traffic module 160 (col. 14, line 45 – col. 16, line 28).

As to claim 13, the claimed received status includes status relating to a particular transport stream transmitted from the head-end is met by the monitoring of the monitoring of, network traffic and the transport layer (see col. 9, line 66 - col. 11, line 15).

As to claim 14, the claimed received status includes bit rates for a plurality of types of data being provided from the head-end is met by bit rate and other performance information that may be reported and shared, and may also be used to compile and maintain statistics (col. 11, line 36 – col. 12, line 29).

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As to claim 15, the claimed at least one of the one or more remote device is a pager is met by the remote device or control points and agents may be loaded on a pager as described above in claim 1.

As to claim 16, the claimed at least one of the one or more remote device is a cellular telephone is met by the remote device or control points and agents may be loaded on a cellular telephone as described above in claim 1.

As to claim 17, the claimed at least one of the one or more remote device is a wireless device is met by the remote device or control points and agents may be loaded on a wireless device, such as a palm computer, a pager, a cellular telephone, or any other networked device having a processor and a memory as described above in claim 1 (see col. 4, lines62-67 and col. 7, lines 33-49).

As to claim 18, the claimed status and messages are forwarded via a standard messaging protocol is met by the communications protocols as described in col. 2, lines 50-67 and col. 5, line 57 – col. 6, line 41).

As to claim 19, note the Pandya et al reference which discloses a method for monitoring, from a remote location, operation of a head-end or server/network resources in an information distribution system. Regarding the claimed "head-end", on pg. 346 of "Newton's Telecom Dictionary", a commonly accepted definition of "head end" is "A central control device required within come LAN/MAN systems to provide such centralized functions as remodulation, retiming, message accountability, contention control, diagnostic control, and access." Although the Pandya et al reference does not explicitly use the term "headend", the reference clearly teaches monitoring and managing network resources, including servers, routers, storage devices,

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gateways, switches, hubs, etc., which are clearly synonymous with the operations of a head-end system (see col. 4, lines 40-61, and the definition of a "headend" according to "The Authoritative Dictionary of IEEE Standards Terms", pg. 508 and "Newton's Telecom Dictionary", pg. 346). The claimed at the remote location, receiving information from the head-end relating to one or more operations performed at the head-end (or server), wherein the received information includes status and indications of possible error conditions relating to the one or more operations performed at the head-end is met by the agents and control points, which control and monitor network events, track operational and congestion status of network resources, select optimum targets for network requests, dynamically manage bandwidth usage, and share information about network conditions with customers, users and IT personnel (col. 4, lines 40-46), as well as, monitoring the status of network resources and detecting downed or under-performing network resources, such as a downed server (col. 12, lines 43-52; col. 13, lines 9-15; and col. 18, line 45 col. 19, line 31). The agents and control points may be adapted and configured to enforce system policies; to monitor and analyze network events, and take appropriate action based on these events; to provide valuable information to users of the network; and ultimately to ensure that network resources are efficiently used in a manner consistent with underlying business or other goals (col. 6, lines 53-59). The control points monitor the status of network resources... (col. 7, lines 7-15). The control points and agents may be loaded on a wide variety of devices, including computers, palm computers, pagers, cellular telephones, and other networked devices, furthermore, the link to the control points and agents may be a wireless link (col. 7, lines 27-59). Therefore, the control points and agents may be located at a remote location. The claimed receiving, at the remote location, identities of one or more remote devices designated to receive

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the information relating to the one or more operations performed at the head-end is met by various profiles and parameters (col. 11, lines 43-45 and col. 15, lines 6-22). The claimed forwarding at least a subset of the received information from the remote location to one or more remote devices is met by the control points monitoring the status of network resources, and sharing the information with management and support systems and with the agents (col. 7, lines 8-11), where the control points and agents may be loaded on a wide variety of devices, including computers, servers, routers, palm computers, pagers, cellular telephones, and virtually any other networked device having a processor and memory (see col. 7, lines 8-58, more specifically lines 27-39), and the "one or more remote devices" are met by a computer or paging device, such as a pager, whereby agents/control points may also send messages concerning resource status or network conditions via email or paging to IT personnel (see col. 19, lines 29-31; also see col. 10, line 66 – col. 11, line 7; col. 13, lines 9-15 and 20-23; col. 18, line 45 – col. 19, line 10; and col. 19, lines 7-31 for a more detailed description).

As to claim 20, note the Pandya et al reference which discloses a method for remotely monitoring and controlling operation of a head-end or server/network resources in an information distribution system. Regarding the claimed "head-end", on pg. 346 of "Newton's Telecom Dictionary", a commonly accepted definition of "head end" is "A central control device required within come LAN/MAN systems to provide such centralized functions as remodulation, re-timing, message accountability, contention control, diagnostic control, and access." Although the Pandya et al reference does not explicitly use the term "headend", the reference clearly teaches monitoring and managing network resources, including servers, routers, storage devices, gateways, switches, hubs, etc., which are clearly synonymous with the operations of a head-end

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system (see col. 4, lines 40-61, and the definition of a "headend" according to "The Authoritative Dictionary of IEEE Standards Terms", pg. 508 and "Newton's Telecom Dictionary", pg. 346). The claimed providing, from a remote location to one or more remote devices status from the head-end relating to one or more operations performed at the head-end is met by the agents and control points, which control and monitor network events, track operational and congestion status of network resources, select optimum targets for network requests, dynamically manage bandwidth usage, and share information about network conditions with customers, users and IT personnel (col. 4, lines 40-46), as well as, monitor the status of network resources and detecting downed or under-performing network resources, such as a downed server (col. 12, lines 43-52; col. 13, lines 9-15; and col. 18, line 45 - col. 19, line 31). The agents and control points may be adapted and configured to enforce system policies; to monitor and analyze network events, and take appropriate action based on these events; to provide valuable information to users of the network; and ultimately to ensure that network resources are efficiently used in a manner consistent with underlying business or other goals (col. 6, lines 53-59). The control points monitor the status of network resources... (col. 7, lines 7-15). The control points and agents may be loaded on a wide variety of devices, including computers, palm computers, pagers, cellular telephones, and other networked devices, furthermore, the link to the control points and agents may be a wireless link (col. 7, lines 27-59). Therefore, the control points and agents may be located at a remote location. The claimed receiving, at the remote location, from a particular remote device one or more response messages is met by a user selecting characters or command selections, where a configuration utility may be used for managing configuration information for the control points and agents (col. 5, lines 45-56; col. 6, lines 60-66; col. 7, lines 27-58; col. 13,

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lines 20-36; col. 14, lines 2-4 and col. 20, line 39 – col. 21 line 38). The claimed adjusting at least one parameter of a particular operation performed at the head-end in accordance with the one or more response messages is met by the configuration utility may be used for managing configuration information for the control points and agents as described above.

As to claim 21, the claimed providing to the one or more remote devices indications of possible error conditions relating to the one or more operations performed at the head-end is met by monitoring the status of network resources and detecting downed or under-performing network resources, such as a downed server (col. 12, lines 43-52; col. 13, lines 9-15; and col. 18, line 45 - col. 19, line 31), and by sharing information about network conditions with customers, users and IT personnel (col. 4, lines 40-46).

Conclusion

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- Aharoni et al (USPN 6,014,694) Discloses a system for adaptive video/audio transport over a network.
- Dziekan et al (USPN 6,704,288) Discloses an arrangement for discovering the topology of an HFC access network.
- Hrastar et al (USPN 6,272,150) Discloses a cable modem map display for network management of a cable data delivery system.

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Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael W. Hoye whose telephone number is **571-272-7346**. The examiner can normally be reached on Monday to Friday from 8:30 AM to 5 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Miller, can be reached at 571-272-7353.

Any response to this action should be mailed to:

Please address mail to be delivered by the United States Postal Service (USPS) as follows:

Mail Stop _____ Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

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Effective January 14, 2005, except correspondence for Maintenance Fee payments, Deposit Account Replenishments (see 1.25(c)(4)), and Licensing and Review (see 37 CFR 5.1(c) and 5.2(c)), please address correspondence to be delivered by other delivery services (Federal Express (Fed Ex), UPS, DHL, Laser, Action, Purolater, etc.) as follows:

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Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to customer service whose telephone number is 571-272-2600.

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Michael W. Hoye September 1, 2005

> JOHN MILLER TIPERVISORY PATENT EXAMINER MOLOGY CENTER 2600